

Practitioner's Docket No.: NFA-0207

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Masanori KOSUGA

IFW  
PCT  
JC06 Rec'd PCT/PTO 21 OCT 2005



Application No.: 10/509,893

Confirmation No.: 1054

Filed: August 18, 2005

Art Unit: 1731

For: METHOD OF PAPER MAKING AND RETENTION AID

Examiner: Not Yet Assigned

Attention: Office of Initial Patent Examination's  
Customer Service Center

VIA FACSIMILE: 703-746-9195

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CORRECTED FILING RECEIPT**

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested. Also enclosed is a copy of the Japanese language Declaration.
2. There is an error with respect to the following, which is incorrectly entered.


**Error in**

**Correct data**

- |  |  |
|--|--|
| 1. Title   | 1. Method of papermaking and retention aid |
| 2. The correction is due to an error by the USPTO. If any fee is due, please charge Deposit Account No. 18-0013. |  |

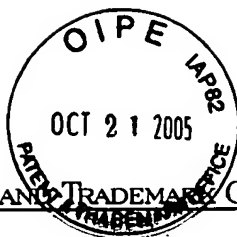
Dated: October 21, 2005

Tel. No.: (202) 955-3750

  
\_\_\_\_\_  
Brian K. Dutton  
Reg. No.: 47,255  
Rader, Fishman & Grauer, PLLC  
Suite 501  
1233 20th Street, N.W  
Washington, D.C. 20036  
Customer No.: 23353



UNITED STATES PATENT AND TRADEMARK OFFICE



UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/509,893	08/18/2005	1731	1380	NFA-0207	2	7	2

CONFIRMATION NO. 1054

23353  
RADER FISHMAN & GRAUER PLLC  
LION BUILDING  
1233 20TH STREET N.W., SUITE 501  
WASHINGTON, DC 20036

**FILING RECEIPT**



\*OC000000017040903\*

Date Mailed: 09/22/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

**Applicant(s)**

Masanori Kosuga, Chiba, JAPAN;  
Masatomi Ogawa, Chiba, JAPAN;  
Yoshiaki Koga, Yamaguchi, JAPAN;

**Power of Attorney:** The patent practitioners associated with Customer Number 23353.

**Domestic Priority data as claimed by applicant**

This application is a 371 of PCT/JP03/04095 03/31/2003

**Foreign Applications**

JAPAN 2002101857 04/03/2002

**Projected Publication Date:** 12/29/2005

**Non-Publication Request:** No

**Early Publication Request:** No

**Title**

Method <sup>of</sup> ~~for~~ producing paper and <sup>making and retention</sup> agent for improving yield <sup>are</sup>

**Preliminary Class**

162

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

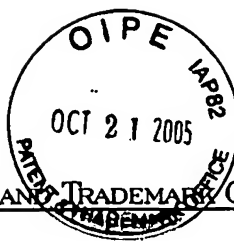
The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



## UNITED STATES PATENT AND TRADEMARK OFFICE



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U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/509,893	Masanori Kosuga	NFA-0207

INTERNATIONAL APPLICATION NO.
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PCT/JP03/04095

I.A. FILING DATE	PRIORITY DATE
03/31/2003	04/03/2002

23353  
 RADER FISHMAN & GRAUER PLLC  
 LION BUILDING  
 1233 20TH STREET N.W., SUITE 501  
 WASHINGTON, DC 20036

CONFIRMATION NO. 1054

371 ACCEPTANCE LETTER



\*OC000000017040904\*

Date Mailed: 09/22/2005

**NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.495**

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as a Designated / Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

<u>08/18/2005</u>	<u>08/18/2005</u>
DATE OF RECEIPT OF 35 U.S.C. 371(c)(1), (c)(2) and (c)(4) REQUIREMENTS	DATE OF COMPLETION OF ALL 35 U.S.C. 371 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE " FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 (c)(1), (c)(2) and (c)(4) REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- Copy of the International Application filed on 10/01/2004
- Copy of the International Search Report filed on 10/01/2004
- Preliminary Amendments filed on 10/01/2004
- Information Disclosure Statements filed on 10/01/2004
- Oath or Declaration filed on 08/18/2005
- Request for Immediate Examination filed on 10/01/2004
- U.S. Basic National Fees filed on 10/01/2004
- Assignment filed on 08/18/2005
- Priority Documents filed on 10/01/2004

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Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

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YOLANDA V HARROD

Telephone: (703) 308-9290 EXT 124

PART 1 - ATTORNEY/APPLICANT COPY

FORM PCT/DO/EO/903 (371 Acceptance Notice)

Docket No. NFA-0207

RADER, FISHMAN &amp; GRAUER, PLLC

## Declaration For U.S. Patent Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

(Insert Title) Method of Papermaking and Retention Aid

the specification of which is attached hereto unless the following box is checked:

☒ was filed on 03/31/2003 As PCT International Application  
Number PCT/JP03/04095 and was amended on \_\_\_\_\_  
and/or was filed on \_\_\_\_\_ As U.S. Patent Application  
Number \_\_\_\_\_ and was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. '1.56.

I hereby claim foreign priority benefits under 35 U.S.C. '119(a)-(d) or '365(b) of any foreign application(s) for patent or inventor's certificate, or '365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International Application having a filing date before that of the application(s) for which priority is claimed:

(List prior foreign applications)	2002-101857 (Number)	Japan (Country)	03/04/2002 (Day/Month/Year Filed)	Priority Claimed <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	(Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No
	(Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim the benefit under 35 U.S.C. '119(e) of any United States provisional application(s) listed below.

(Application Number)	(Filing Date)
(Application Number)	(Filing Date)

☐ See attached list for additional prior foreign or provisional applications.

I hereby claim the benefit under 35 U.S.C. '120 of any United States application(s) or '365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior application(s) (U.S. or PCT) in the manner provided by the first paragraph of 35, U.S.C. '112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. '1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

(List prior U.S. Applications or PCT International applications designating the U.S.)	(Application Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)
	(Application Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)

And I hereby appoint the firm of Rader, Fishman &amp; Grauer, PLLC, Customer Number 23353 including as principal attorneys: Richard D. Grauer, Reg. No. 22,388; David T. Nikaido, Reg. No. 22,663; Ronald P. Kananen, Reg. No. 24,104; Ralph T. Rader, Reg. No. 28,772; Carl Schaukowitz, Reg. No. 29,211; Michael D. Fishman, Reg. No. 31,951; Michael B. Stewart, Reg. No. 36,018; Alexander D. Rabinovich, Reg. No. 37,425; Kevin D. Rutherford, Reg. No. 40,412; Glenn E. Forbis, Reg. No. 40,610; Lee Cheng, Reg. No. 40,949; Kristin L. Murphy, Reg. No. 41,212; Robert S. Green, Reg. No. 41,800; James F. Kamp, Reg. No. 41,882; Brian K. Dutton, Reg. No. 47,255; Shawn B. Cage, Reg. No. 51,522

Please direct all communications to the following address: RADER, FISHMAN & GRAUER, PLLC  
1233 20<sup>th</sup> Street, N.W., Suite 501  
Washington, D.C. 20036  
Telephone No. (202) 955-3750  
Facsimile No. (202) 955-3751

Docket No.

The undersigned hereby authorizes the U.S. attorneys named herein to accept and follow instructions from the undersigned's assignee, if any, and/or, if the undersigned is not a resident of the United States, the undersigned's domestic attorney, patent attorney or patent agent, as to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorneys and the undersigned. In the event of a change in the person(s) from whom instructions may be taken, the U.S. attorneys named herein will be so notified by the undersigned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor KOSUGA Masanori

Inventor's

signature

Kosuga Masanori

Oct. 1, 2004

Date

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Citizenship Japan

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Full name of second inventor OGAWA Masatomi

Inventor's

signature

Masatomi Ogawa

Oct. 1, 2004

Date

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Citizenship Japan

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Full name of third inventor KOGA Yoshiaki

Inventor's

signature

Yoshiaki Koga

OCT. 4, 2004

Date

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Citizenship Japan

Post Office Address c/o TOKUYAMA CORPORATION, 1-1, Mikage-cho, Shunan-shi, Yamaguchi 745-8648 Japan

Full name of fourth inventor

Inventor's

signature

Date

Residence

Citizenship

Post Office Address



RADER, FISHMAN &amp; GRAUER, PLLC

Docket No. \_\_\_\_\_

**U.S. ASSIGNMENT**

IN CONSIDERATION of the sum of One Dollar (\$1.00), and of other good and valuable consideration paid to the undersigned inventor(s) (hereinafter ASSIGNOR) by

[Insert  
ASSIGNEE's  
Name(s)  
Address(es)]

SEIKO PMC CORPORATION located at 3-6, Nihonbashihoncho 3-chome, Chuo-ku, Tokyo 103-0023 Japan  
TOKUYAMA CORPORATION located at 1-1, Mikage-cho, Shunan-shi, Yamaguchi 745-8648 Japan

(hereinafter ASSIGNEE), the receipt of which is hereby acknowledged, the undersigned ASSIGNOR hereby sells, assigns and transfers to ASSIGNEE the entire and exclusive right, title and interest to the invention entitled

[Title of  
Invention]

[\*If the assignment  
is being filed  
after the filing of the  
application, this  
section must be  
completed]

for which application for Letters Patent of the United States was executed on even date herewith unless otherwise indicated below:

\*filed on \_\_\_\_\_, Serial No. \_\_\_\_\_

(Rader, Fishman & Grauer, PLLC is hereby authorized to insert the series code, serial number and/or filing date hereon, when known)

and all Letters Patent of the United States to be obtained therefor on said application or any continuation, division, renewal, substitute, reissue or reexamination thereof for the full term or terms for which the same may be granted.

The ASSIGNOR agrees to execute all papers necessary in connection with application and any continuing, divisional, reissue or reexamination applications thereof and also to execute separate assignments in connection with such applications as the ASSIGNEE may deem necessary or expedient.

The ASSIGNOR agrees to execute all papers necessary in connection with any interference, litigation, or other legal proceeding which may be declared concerning this application or any continuation, division, reissue or reexamination thereof or Letters Patent or reissue patent issued thereon and to cooperate with the ASSIGNEE in every way possible in obtaining and producing evidence and proceeding with such interference, litigation, or other legal proceeding.

IN WITNESS WHEREOF, the undersigned inventor(s) has (have) affixed his/her/their signature(s).

[Signature(s)  
of Assignor(s)]

Kosuga Masanori  
(SIGNATURE)

KOSUGA Masanori

(TYPE NAME)

Oct. 1, 2004  
(DATE)

Masatosi Ogawa  
(SIGNATURE)

OGAWA Masatosi

(TYPE NAME)

Oct. 1, 2004  
(DATE)

Yoshiaki Koga  
(SIGNATURE)

KOGA Yoshiaki

(TYPE NAME)

Oct. 4, 2004  
(DATE)